DEC 1 7 2003

MEMORANDUM FOR Linda Stiff
                Director, Compliance

FROM: Maya A. Bernstein
                Privacy Advocate

SUBJECT: Desktop Integration (Milestone 4)
                Privacy Impact Assessment

The Office of the Privacy Advocate has reviewed the Privacy Impact Assessment (PIA) for the Desktop Integration (Milestone 4) application. Based on the information you provided, the Office of the Privacy Advocate does not have any privacy concerns that would preclude Desktop Integration from operating. However, a process is required to ensure that deleted records from the database cannot be restored, therefore, include this as a requirement for your next modification. A revised PIA is required for subsequent releases/modifications or before the project progresses to the next milestone.

We are forwarding a copy of the PIA to the Director, Modernization and System Security, to be included in the Security Accreditation Package for formal acceptance for operation. That office may request information concerning the statements contained in the PIA to ascertain compliance with the applicable security requirements. If you have any questions, please contact me at 202-927-5170, or your staff may contact Brian D. Townsend at 202-927-5162.

cc: Director, Modernization and System Security OS:MA:M

December 2003

MEMORANDUM FOR MAYA A. BERNSTEIN
                             PRIVACY ADVOCATE

FROM: Jerry Dalpias, Chief, Compliance Development Branch
                               M:I:B:CA:CD

SUBJECT: Request for Privacy Impact Assessment (PIA) –
                               Desktop Integration (Milestone 4)

Purpose of the System: Desktop Integration will integrate various IRS (Internal
Revenue Service) systems, through a common user interface (a web browser),
which allows access to the system's information. Currently, efficiency and
productivity are hampered when employees must use different terminal to access
various systems. Desktop Integration will help employees render complete
service at one terminal. Desktop Integration will integrate with Report Generation
Software/Correspondence Examination Automation Support (RGS/CEAS),
Integrated Collection System (ICS), Automated Collection System (ACS),
Remittance Transaction Research System (RTR), Taxpayer Advocate
Management Information System (TAMIS), Correspondence Imaging System
(CIS), Integrated Data Retrieval System (IDRS), Security and Communications
Systems (SACS) and Electronic Account Resolution (EAR).

Name of Request Contact:
        Name: Susan Howell
        Organization Name & Symbols: M:I:B:CA:IS:OU
        Mailing Address:1973 North Rulon White Blvd M/S 6502, Ogden UT 84201
        Phone Number (with area code): 801-620-4022

Name of Business System Owner:
        Name: Linda Stiff, Director, Compliance
        Organization Name & Symbols: W& I Compliance W:CP
        Mailing Address: 401 W Peachtree St, Atlanta, GA 30308
        Phone Number (with area code): 404-338-9904

Requested Operational Date:

Category
        New System?: _____ _____
        Recertification? (if no change, enter date of last certification) _____
        Modification of existing system?: _____

Is this a National Standard Application (NSA)?: _____
Is this a Modernization Project or System? ___N - Tier B____
If yes, the current milestone?: _4__

System of Record Number(s) (SORN) #:
IRS 26.019 Taxpayer Delinquent Accounts (TDA) Files
IRS 26.020 Taxpayer Delinquency Investigation (TDI) Files
IRS 24.047 Audit Underreport Case File
IRS 00.001 Correspondence Files and Correspondence Control Files

IRS 24.030 CADE Individual Master File (IMF)
IRS 24.046 CADE Business Master File (BMF)
IRS42.001 Examination Administrative File
IRS 36.003 General Personnel and Payroll Records
IRS 34.037 IRS Audit Trail and Security Records System
IRS 44.003 Appeals Centralized Data System (Formerly Unified System for Time and Appeals Records (Unistar)

The above SORN was approved by David Silverman on August 12, 2003.

Attachment: PIA

Data in the System

| 1. Describe the information (data elements and fields) available in the system in the following categories:

  A. Taxpayer
  B. Employee
  C. Audit Trail Information (including employee log-in info)
  D. Other (Describe) | a. Refer to DI Design Document ver1.10.doc elements:
  • 4.1.3 Data Items
  • 4.3.3 Form 442 Inventory Data Items
  • 4.3.3 Form 911 Inventory Data Items
  • 4.3.5 Form 12233 Inventory Data Items
  • 4.3.6 Form 12412 Inventory Data Items
  • 4.3.7 Form 9465 Inventory Data Items
  • 4.3.8 Form 5792 Inventory Data Items
  • 4.3.9 Form 3911 Inventory Data Items
  • 4.3.10 EAR Inventory Data Items
  • 4.4.2 Tables and Data Items except elements LOGIN_NM and NTLOGIN_NM and tables USER_PROFILE, WRK_SPEC_GRP, WRK_SPEC_LST, WRK_SPEC_PROF, and WRK_SPEC_SUB_CD_LST
  • 4.6.3 Data Items
  • 4.7.3 Data Items
  • 4.8.3 Data Items 6, 7, 9, 10, 11, 12, 13, 14, 15, and 16
  • 4.11.3 Data Items
b. Refer to DI Design Document ver1.10.doc elements:
  • LOGIN_NM
  • NTLOGIN_NM
  • 4.4.2 Tables and Data tables USER_PROFILE, WRK_SPEC_GRP, WRK_SPEC_LST, WRK_SPEC_PROF, and WRK_SPEC_SUB_CD_LST 1 to 12
  • 4.5.3 Data Items
  • 4.8.3 Data Items 1,2,3,4,5, and 8
c. The system the user uses to access the Intranet collects the employee log-in information. Desktop Integration provides audit trail information on all data sent and received by the application.
d. All data is either Taxpayer or Employee data. |

2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources. A. IRS B. Taxpayer C. Employee D. Other Federal Agencies (List agency) E. State and Local Agencies (List agency) F. Other third party sources (Describe)	a. Refer to DI Design Document ver1.10.doc elements: • 4.1.3 Data Items • 4.3.3 Form 442 Inventory Data Items • 4.3.3 Form 911 Inventory Data Items • 4.3.5 Form 12233 Inventory Data Items • 4.3.6 Form 12412 Inventory Data Items • 4.3.7 Form 9465 Inventory Data Items • 4.3.8 Form 5792 Inventory Data Items • 4.3.9 Form 3911 Inventory Data Items • 4.3.10 EAR Inventory Data Items • 4.4.2 Tables and Data Items except elements LOGIN_NM and NTLOGIN_NM and tables USER_PROFILE, WRK_SPEC_GRP, Wrk_Spec_Lst, Wrk_Spec_Prof, and Wrk_Spec_Sub_Cd_Lst • 4.6.3 Data Items • 4.7.3 Data Items • 4.8.3 Data Items 6, 7, 9, 10, 11, 12, 13, 14, 15, and 16 • 4.11.3 Data Items b. Refer to DI Design Document ver1.10.doc elements: • 4.1.3 Data Items • 4.3.3 Form 442 Inventory Data Items • 4.3.3 Form 911 Inventory Data Items • 4.3.5 Form 12233 Inventory Data Items • 4.3.6 Form 12412 Inventory Data Items • 4.3.7 Form 9465 Inventory Data Items • 4.3.8 Form 5792 Inventory Data Items • 4.3.9 Form 3911 Inventory Data Items • 4.3.10 EAR Inventory Data Items • 4.4.2 Tables and Data Items except elements LOGIN_NM and NTLOGIN_NM and tables USER_PROFILE, WRK_SPEC_GRP, Wrk_Spec_Lst, Wrk_Spec_Prof, and Wrk_Spec_Sub_Cd_Lst • 4.6.3 Data Items • 4.7.3 Data Items • 4.8.3 Data Items 6, 7, 9, 10, 11, 12, 13, 14, 15, and 16 • 4.11.3 Data Items c. Refer to DI Design Document ver1.10.doc elements: • LOGIN_NM • NTLOGIN_NM • 4.4.2 Tables and Data tables USER_PROFILE, WRK_SPEC_GRP, WRK_SPEC_LST, WRK_SPEC_PROF, and WRK_SPEC_SUB_CD_LST 1 to 12 • 4.5.3 Data Items • 4.8.3 Data Items 1,2,3,4,5, and 8 d. No other Federal Agencies provide data for Desktop Integration. e. No State or Local Agencies provide data for Desktop Integration. f. No other third party sources provide data for Desktop Integration.

3. Is each data item required for the business purpose of the system? Explain.	Each data item is necessary to perform the required business action (assess or abate, update history, etc.)
4. How will each data item be verified for accuracy, timeliness, and completeness?	Each set of data will be validated against the business rules for that data to determine if any required data is not provided. All data provided to Desktop Integration is the latest and most complete available.
5. Is there another source for the data? Explain how that source is or is not used.	No.
6. Generally, how will data be retrieved by the user?	Data is retrieved using personal identifiers.
7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?	Yes, data is retrievable by name and SSN.

Access to the Data

8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?	The primary users will be Wage & Investment (W&I) users. Secondary users are from Small Business/Self-Employed (SB/SE), Taxpayer Advocate, and Appeals. Access to the data is determined by the manager based on a user's position and need-to-know. Each user will have a profile that will define what sets of data and what actions on that data they can access. If a user does not have permission to the data, the system will not access or display the information. If a user does not have permission to perform a specific action, that action would not be displayed to the user as an option.

9. How is access to the data by a user determined and by whom?	Access to the data is determined by the manager based on a user's position and need-to-know. The manager will request a user be added. They must fill out Form 5081, Information System User Registration/Change Request, to request access to the application. A user's access to the data terminates when it is no longer required. Criteria, procedures, controls, and responsibilities regarding access are documented in the Information Systems Security Rules on Form 5081.
10. Do other IRS systems provide, receive, or share data in the system? If YES, list the system(s) and describe which data is shared. If NO, continue to Question 12.	Desktop Integration will provide to and receive data from Report Generation Software/Correspondence Examination Automation Support (RGS/CEAS), Integrated Collection System (ICS), Automated Collection System (ACS), Taxpayer Advocate Management Information System (TAMIS), Correspondence Imaging System (CIS), Remittance Transaction Research System (RTR), Integrated Data Retrieval System (IDRS), Security and Communications Systems (SACS), and Electronic Account Resolution (EAR). Refer to DI Design Document.doc.
11. Have the IRS systems described in Item 10 received an approved Security Certification and Privacy Impact Assessment?	All systems are in production. Five systems (IDRS; CIS; RTC; ICS; and RGS/CEAS) have current certifications.
12. Will other agencies provide, receive, or share data in any form with this system?	No.

Administrative Controls of Data

13. What are the procedures for eliminating the data at the end of the retention period?	There is a 12-year requirement for data storage with 9 years of archive (near-line) per IRM 1.15.2.22 Item 38(2). The Records Control Schedule for Examination is currently pending approval of the National Archives and Records Administration (NARA). As soon as it is approved, it will be published as Chapter 16 of Records Disposition Handbook, 1.15.2. At the end of the retention period that data will removed from the database via a scheduled maintenance task. The data will be removed from the database and the magnetic tapes degaused per IRM 25.10.1. There are no plans to reorganize the database.

14. Will this system use technology in a new way? If "YES" describe. If "NO" go to Question 15.	No.
15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.	DI will integrate various IRS systems, through a common user interface, which allows access to multiple systems information. The various IRS systems will be used to identify or locate individuals or groups. The business purpose of this capability is to allow access to multiple systems information or to perform the business purpose of DI.
16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.	The system does not provide the capability to monitor individuals or groups. Data is not maintained by DI. Data is accessed by integration to external applications by DI.
17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently? Explain.	No, all taxpayers and employees will be treated equally.
18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?	DI does not make determinations. DI will integrate various IRS systems, through a common user interface, which allows access to multiple systems information. The systems DI interfaces with provide "due process" via notice routines, correspondence to taxpayers, and audit trails.
19. If the system is web-based, does it use persistent cookies or other tracking devices to identify web visitors?	Desktop Integration is a web-based application. Desktop Integration does not use persistent cookies.